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GROUP 3600

CF-24

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Andrew H. Pritchard  
Application No.: 09/927,628 Confirmation No.: 5363  
Filed : August 10, 2001  
For : SYSTEMS AND METHODS FOR DEVELOPING AND  
ADMINISTERING INVESTMENT TRUSTS  
Group Art Unit : 3624  
Examiner : Hani M. Kazimi

Commissioner for Patents  
P.O. Box 1450  
Alexandria, V.A. 22313-1450

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98, applicant wishes to call the attention of the Examiner to the following documents in connection with the above-identified application:

United States Department of the Treasury, Bureau of the Public Debt, at <http://www.publicdebt.treas.gov>, printed August 25, 2004.

Actively Managed Exchange-Traded Funds, Investment Company Act Release No. 25258, November 8, 2001.

Merrill Lynch, Pierce, Fenner & Smith Incorporated, SEC No Action Letter (1999 SEC No-Act. LEXIS 737), pub. avail. September 3, 1999.

Indosuez Asset Management Asia Limited, SEC No Action Letter (1997 SEC No-Act. LEXIS 326), pub. avail. February 14, 1997.

Commonwealth Bank of Australia, SEC No Action Letter (1996 SEC No-Act. LEXIS 865), pub. avail. September 23, 1996.

Robertson, Stephens & Company, SEC No Action Letter (1993 SEC No-Act. LEXIS 435), pub. avail. March 13, 1993.

CRT Government Securities, Ltd., SEC No Action Letter (1992 SEC No-Act. LEXIS 844), pub. avail. August 4, 1992.

Bear, Stearns & Co. Inc., SEC No Action Letter (1992 SEC No-Act. LEXIS 81), pub. avail. January 28, 1992.

Merrill Lynch, Pierce, Fenner & Smith, Inc., SEC No Action Letter (1990 SEC No-Act. LEXIS 1136), pub. avail. September 26, 1990.

Financial Security Assurance Inc., SEC No Action Letter (1988 SEC No-Act. LEXIS 456), pub. avail. March 30, 1988.

Central Utah Rural Impact Capital Corp., SEC No Action Letter (1980 SEC No-Act. LEXIS 3589), pub. avail. August 29, 1980.

Copies of the aforementioned documents are enclosed herewith. These documents are listed on the accompanying Form PTO-1449 (submitted in duplicate).

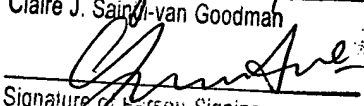
It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application, and (2) printed on any patent which may issue on this application. Applicant respectfully requests that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

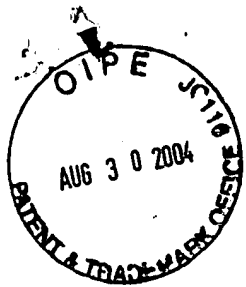
Respectfully submitted,



Hassan Albakri  
(Limited Recognition)  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450 on

August 25, 2004  
Claire J. Saint-van Goodman  
  
Signature of Person Signing



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Examiner : Hani M. Kazimi

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

New York, New York  
August 25, 2004

TRANSMITTAL LETTER FOR  
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

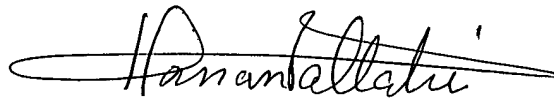
Transmitted herewith is a Second Supplemental  
Information Disclosure Statement in the above-identified  
application. This Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of  
this Statement requires no fee. However, if for any reason

a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Second Supplemental Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

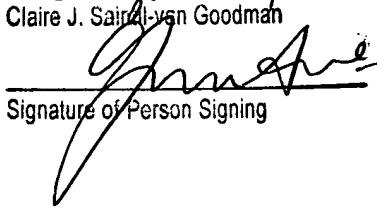
Respectfully submitted,

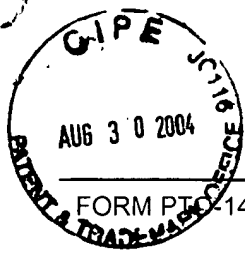


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Addressed to:  
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P.O. Box 1450  
Alexandria, VA 22313-1450 on

August 25, 2004  
Claire J. Saini-van Goodman

  
Signature of Person Signing



FORM PT-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CF-24APPLICATION NO.  
09/927,628INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTSAPPLICANT  
Andrew H. PritchardCONFIRMATION NO.  
5363FILING DATE  
August 10, 2001GROUP  
3624

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

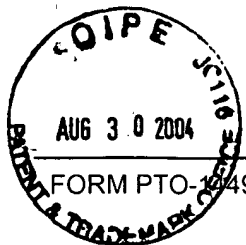
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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	United States Department of the Treasury, Bureau of the Public Debt, at <a href="http://www.publicdebt.treas.gov">http://www.publicdebt.treas.gov</a> , printed August 25, 2004.
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EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.



FORM PTO-1049

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE  
STATEMENT BY APPLICANTSATTY. DOCKET NO.  
CF-24APPLICANT  
Andrew H. PritchardFILING DATE  
August 10, 2001APPLICATION NO.  
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